DAUPHIN COUNTY MH/ID PROGRAM
POLICY AND PROCEDURE

Department:    ____ MH     Policy No.  18-02
              ____ ID     Effective Date  1/5/18
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              ____ Crisis     Approved  

Title: Waiver Capacity Management including: Waiver Capacity Commitment, Waiver Residential Vacancy Management, Reserved Capacity Due to Hospital/Rehab, Unanticipated Emergencies and Service Initiation upon Waiver Enrollment

Policy: It is the policy of the Dauphin County Mental Health/Intellectual Disabilities Program that requirements of the Administrative Entity Operating Agreement are met as related to Waiver Capacity Management. This policy outlines the necessary processes.

Definitions:

Administrative Entity: County/AE (AE) – The Dauphin County Mental Health/Intellectual Disabilities Program enters into and maintains a signed agreement with the Department of Human Services to perform administrative functions delegated by the Department, as the Department’s designee, in compliance with the Department’s approved Medicaid Waivers, written policies, procedures, and departmental decisions.

Approved Program Capacity – The approved program capacity is established by the Office of Developmental Programs (ODP). The approved program capacity is the maximum number of individuals who may receive home and community services at that service location at one time of any given day throughout the fiscal year, regardless of the service type or funding used to pay for the service. Residential, prevocational, and day programs licensed under 55 Pa. Code Chapter 6400, Chapter 2380, or Chapter 2390 are provided an approved program capacity number.

Department – The Office of Developmental Programs (ODP) within the Pennsylvania Department of Human Services (DHS).

Home and Community Services Information System (HCSIS) – The secure internet information system serving the DHS state program offices that oversee Medicaid Waivers.

Jurisdiction of the Administrative Entity (AE) – The geographic area and/or specific participants the county program is assigned waiver functions.
Office of Developmental Programs (ODP) – The Pennsylvania state program office within DHS that oversees ODP waivers, sets policy, provides funds, and administers services for individuals with intellectual disabilities and autism.

Participant – An individual determined to meet eligibility criteria and who is enrolled in one of the ODP waivers.

Prioritization of Urgency of Need for Services (PUNS) – The strategic planning tool and current process used to categorize an applicant’s need for services prior to enrollment in one of the waivers which is then reviewed at least annually thereafter.

Provider – An entity or individual that enters into and maintains a signed Provider Agreement with the Department to render a waiver service(s), which meets the definitions of both a willing provider and a qualified provider.

PUNS Management – Procedures for AE/county to assess individuals in need of services that are eligible and awaiting waiver capacity in order to be enrolled in a waiver.

Reserved Capacity – The portion of the approved waivers that are reserved for the enrollment of specified groups or targeted purposes.

Supports Coordination Organization (SCO) – A type of waiver provider with the primary responsibilities of locating, coordinating, and monitoring needed services and supports for waiver participants. CMU is Dauphin County’s Supports Coordination Organization.

Supports Coordinator (SC) – An employee of a SCO with the primary responsibilities of locating, coordinating, and monitoring needed services and supports for waiver participants.

Unanticipated Emergency – An occurrence when a known or unknown individual with a disability or waiver participant has an imminent risk of: institutionalization within twenty-four (24) hours, substantial self-harm or substantial harm to others; if the individual does not immediately receive services and this imminent risk is precipitated by at least one of the following situations:

1. The illness or death of a caretaker.
2. The sudden loss of the individual’s home (for example, due to fire or natural disaster).
3. The loss of the care of a relative or caregiver, without advance warning or planning.

To be considered by the Department to be an Unanticipated Emergency, the AE/County Program must have no other resources available to address the individual’s immediate health and welfare needs.

Waivers – A current and approved ODP waiver.

Waiver Capacity Commitment – The number of Participants the AE may enroll in a specified waiver at any given point in time during a fiscal year, as approved by the Department.
**Waiver Capacity Commitment Notification** – A notification that designates the Department’s current approved maximum number of participants within the jurisdiction of the AE/county that may be enrolled in each waiver at any given point in time during a fiscal year (FY).

**Waiver Capacity Management** – The overall process of properly maintaining the AE/County’s Waiver Capacity Commitment which includes following department-approved policies and procedures relating to waiver capacity commitment, maintaining reserved capacity (including the tracking of individuals due to hospitalization or rehabilitation care), waiver residential vacancy management, and management of unanticipated emergencies.

**Waiver Residential Vacancy Management** – The process of identifying and managing a vacancy in a service location licensed under 55 Pa. Code Chapter 6400 (relating to Community Homes for Individuals with Mental Retardation) within the service location’s Approved Program Capacity.

**Procedure:**

1. **Enrollment into an ODP Approved Medicaid Waiver** - The total number of participants in the approved waivers during a fiscal year may not exceed the approved number of waiver participants that is documented in the AE’s Waiver Capacity Commitment letter forwarded to the AE by the Office of Developmental Programs.
   
   a. The AE will only enroll an individual with an emergency need as defined in PUNS Management.
   
   b. The AE will provide administrative functions to ensure that the designated number of new participants will be enrolled within the required fiscal year and will meet ODP requirements related to a waiting list initiative.
   
   c. HCSIS will be updated to reflect all actions related to an individual’s enrollment in the designated waiver by the SCO.
   
   d. The AE will cooperate with filling a vacancy in a prevocational, residential, or day program remaining within a provider’s approved program capacity.

2. **Monitoring of Services** - The Supports Coordinator is required to monitor all waiver services. The SC/SCO will notify the AE if waiver services are not initiated within forty-five (45) calendar days after the effective date of waiver enrollment for a waiver participant.
   
   a. When a delay in service initiation is reported, the AE will submit a written request for an extension to the regional ODP office. The request will include the reason for the delay and the efforts to resolve the issues.
   
   b. The extension request will include documentation of the AE’s efforts to resolve the service delay.
3. **Unanticipated emergency requests** are provided to the Office of Developmental Programs in writing.
   
   a. Individuals considered for unanticipated emergencies are those individuals that are unknown to the ID system; an individual not identified correctly in the PUNS process; or the individual’s PUNS does not accurately reflect an unanticipated change in circumstances.
   
   b. The county program will first consider all existing waiver capacity prior to requesting capacity from ODP.
   
   c. The county will consider use of base dollars in the event funds are needed to fund services in order to protect the individual’s health and safety.
   
   d. The individual’s PUNS will be updated as appropriate.
   
   e. The individual will be enrolled in the waiver when capacity is reported.

4. **Reserved capacity** will be reviewed regularly with the Supports Coordination Organization staff. These reviews will be utilized to monitor the status of waiver participants whose enrollment in the waiver is being reserved because of a short term stay in a hospital, nursing facility, rehabilitation care facility, or reserved capacity due to a transition.
   
   a. When a participant is in reserved capacity status for more than 30 consecutive days, the AE, in consultation with the SCO, will review team recommendations regarding the participants return to the community, at a minimum, on a monthly basis.
   
   b. This review will include the possibility of a return to the participant’s former home, changes in level of support, adaptations, and whether natural, family, and community supports can assist the participant in returning to the community.
   
   c. The AE will reserve capacity for participants who require future services due to the criteria in the approved waiver. Capacity may be reserved up to 120 days prior to the expected need for services.

5. **Waiver Residential Vacancy Management** is implemented by the AE/County staff. The AE has assigned a point person for this action. This point person is the liaison between ODP, the SCO, and the provider agency in regards to vacancy management.

6. **Participants Targeted for Enrollment**: The AE will cooperate with filling a vacancy as per Department-established policies and procedures, at all times, remaining within a provider’s approved program capacity. The AE will only enroll an individual with an emergency need as defined in PUNS Management.

Applicable Requirements:
- Administrative Entity Operating Agreement